

3624  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re Application of: D. MCCABE et al.

Application No.: 09/559,320

Group Art Unit: 3624

Filed: April 27, 2000

Examiner: D. Felten

For: DERIVATIVE SECURITIES  
TRADING PRODUCT UTILIZING  
SUBSETS OF INDICES OR  
PORTFOLIOS

Attorney Docket No.: 10449-003

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JUL 17 2002

GROUP 3600

FEE TRANSMITTAL SHEET

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The fee required to be filed with the accompanying amendment of even date herewith concerning the above-identified application has been estimated to be \$324.

The claim amendment fee has been estimated as shown below:

| (Col. 1)   |    | (Col. 2)                       |    | (Col. 3)      |   | SMALL ENTITY |            | OTHER THAN A SMALL ENTITY |            |
|--|----|--------------------------------|----|---------------|---|--------------|------------|---------------------------|------------|
| CLAIMS REMAINING AFTER AMENDMENT                                   |    | HIGHEST NO PREVIOUSLY PAID FOR |    | PRESENT EXTRA |   | RATE         | ADDIT. FEE | RATE                      | ADDIT. FEE |
| TOTAL  | 24 | MINUS                          | 20 | =             | 4 | × 9          | \$         | × 18                      | \$ 72.00   |
| INDEP.   | 6  | MINUS                          | 3  | =             | 3 | × 42         | \$         | × 84                      | \$ 252.00  |
| <input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEP. CLAIM |    |                                |    |               |   | 140          | \$         | 280                       | \$         |
|  |    |                                |    |               |   | TOTAL        | \$         | OR TOTAL                  | \$ 324.00  |

Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150.  
A copy of this sheet is enclosed.

Respectfully submitted,

Date July 11, 2002

*Nanda K. Alapati*

Nanda K. Alapati  
For: Marcia H. Sundeen

Reg. No. 39,893  
Reg. No. 30,893

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Enclosure

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: D. MCCABE et al.

Application No.: 09/559,320

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DERIVATIVE SECURITIES  
TRADING PRODUCT UTILIZING  
SUBSETS OF INDICES OR PORTFOLIOS

AMENDMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir or Madam:

**RECEIVED**  
JUL 17 2002  
**GROUP 3600**

In response to the Office Action mailed June 17, 2002, please enter the following amendments and remarks into the file of the above-identified application.

**IN THE SPECIFICATION:**

A marked-up copy of the amended paragraphs showing additions and [deletions] is attached in Appendix A. A clean copy of all pending claims is attached in Appendix B.

**Please amend the following paragraphs in the specification to read as follows:**

**Paragraph beginning at page 1, line 12:**

On the floor of a stock exchange, such as the New York Stock Exchange (NYSE) or the American Stock Exchange (AMEX), equities are traded by firms which are generally referred to as brokers. Some of these brokers are officially given the exclusive right to maintain the market for one or more particular stocks, and these firms are called specialists, because they specialize in trading those one or more particular stocks. And within that firm, a particular individual serves as the firm's specialist in handling one or more of those stocks for which the firm serves as the specialist. In general, most of the transactions for a particular stock are handled automatically and instantaneously. This is because a single

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02 FC:103 72.00 CH